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AUG 01 2008

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ADMINISTRATION

## TELECOPY

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Date:	Our Ref.
August 1, 2008	035784/309941
Recipient:	Company:
Kaya L. Lewis Baltimore PCT Legal Office	U.S. Patent and Trademark Office
Fax Number	Voice Number:
(571) 273-0459	(571) 272-4300
Sender:	Tel: (919) 862-2229 – Fax (919) 862-2260 E-Mail: <a href="mailto:leslie.henry@alston.com">leslie.henry@alston.com</a> cc: <a href="mailto:diann.gravius@alston.com">diann.gravius@alston.com</a>
Application No.:	Confirmation No. 1890
Filed:	Group Art Unit: 1641
For:	USE OF ANTAGONIST ANTI-CD40 ANTIBODIES FOR TREATMENT OF AUTOIMMUNE AND INFLAMMATORY DISEASES

Pursuant to our fax of July 7, 2008 (copies attached) for a request for correction of Filing Receipt and Notice of Acceptance documents, we confirm that we are in receipt of a Corrected Filing Receipt dated July 29 2008, however we did not receive a corrected Notice of Acceptance showing the correct I.A. Filing date of November 4, 2004.

Kindly refer to our original request (attached) which included supporting documents and please forward the corrected Notice of Acceptance at your earliest convenience.

We thank you for your continued attention to this matter.

Respectfully submitted,  
/leslie t. henry/  
Leslie T. Henry (45,714)  
Tel: (919) 862-2229

Number of Pages: (including cover page) **16**

**IF NOT RECEIVED PROPERLY, PLEASE NOTIFY US IMMEDIATELY AT 862-2221.**

USER CODE: GRAVD	REQUESTED BY: Diann Gravius
CLIENT/MATTER: 035784/309941	OPERATOR:



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING or 371(c) DATE	GRP/ART UNIT	FIL. FEE REC'D	ATTY.DOCKET.NO	TOT CLAIMS	IND CLAIMS
10/576,943	12/01/2006	1641	1680	035784/309941	19	5

CONFIRMATION NO. 1E90

826

ALSTON & BIRD LLP  
 BANK OF AMERICA PLAZA  
 101 SOUTH TRYON STREET, SUITE 4000  
 CHARLOTTE, NC 28280-4000



OC000000031219267

*This is correct Filing Receipt  
 THANK YOU!*

Date Mailed 07/29/2008

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections.

**Applicant(s)**

Li Long, Emeryville, CA;  
 Mohammad Luqman, Danville, CA;  
 Asha Yabannavar, Lafayette, CA;  
 Isabel Zaror, Emeryville, CA;

**Assignment For Published Patent Application**

Chiron Corporation, Emeryville, CA

**Power of Attorney:** The patent practitioners associated with Customer Number 00826**Domestic Priority data as claimed by applicant**

This application is a 371 of PCT/US2004/036957 11/04/2004  
 which claims benefit of 60/517,337 11/04/2003  
 and claims benefit of 60/525,579 11/26/2003  
 and claims benefit of 60/565,710 04/27/2004

*This date is  
 correct - needs  
 to be corrected on  
 Notice of Acceptance*

**Foreign Applications****If Required, Foreign Filing License Granted:** 08/22/2007The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 10/576,943****Projected Publication Date:** 11/06/2008**Non-Publication Request:** No**Early Publication Request:** No

**Title**

Use of Antagonist Anti-Cd40 Antibodies for Treatment of Autoimmune and Inflammatory Diseases and Organ Transplant Rejection

**Preliminary Class**

424

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

### **LICENSE FOR FOREIGN FILING UNDER**

**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where

the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.2, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

This facsimile message and its contents are legally privileged and confidential information intended solely for the use of the addressee. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, copying or other use of this message and its contents is strictly prohibited. If you have received this telecopy in error, please notify us immediately by telephone and return the original message to us at the address shown below via the Postal Service. Thank You.

# ALSTON&BIRD LLP

3201 Beechleaf Court, Suite 600  
Raleigh, NC 27604-1062  
Tel: 919-862-2200  
Fax: 919-862-2260

**COPY**

of Original request  
to correct filin. Receipt  
of Notice of Acceptance

## TELECOPY

**PLEASE DELIVER AS SOON AS POSSIBLE**

<b>Date:</b>	<b>Our Ref.</b>
July 7, 2008	035784/309941
<b>Recipient:</b>	<b>Company:</b>
Kaya L. Lewis Baltimore PCT Legal Office	U.S. Patent and Trademark Office
<b>Fax Number:</b>	<b>Voice Number:</b>
(571) 273-0459	(571) 272-4300
<b>Sender:</b>	Tel: (919) 862-2229 – Fax (919) 862-2260 E-Mail: <a href="mailto:leslie.henry@alston.com">leslie.henry@alston.com</a> cc: <a href="mailto:diann.gravius@alston.com">diann.gravius@alston.com</a>
<b>Application No.:</b>	<b>Confirmation No.</b> 1890
<b>Filed:</b>	<b>Group Art Unit:</b> 1641
<b>For:</b>	USE OF ANTAGONIST ANTI-CD40 ANTIBODIES FOR TREATMENT OF AUTOIMMUNE AND INFLAMMATORY DISEASES

We are in receipt of a Corrected Filing Receipt and Notice of Acceptance dated June 26, 2008 for the above-referenced National Stage Application. We had made previous requests to correct the Domestic priority data dating back to August of 2007. The priority data was finally correctly updated, however, upon inspection of the documents, we noticed that that I.A. Filing Date of November 4, 2004 had been changed to May 19, 2005 on both the filing receipt and notice of acceptance. We note that the May 19, 2005 date is the publication date of the International application. Kindly correct the International Filing date to reflect November 4, 2004 on both the filing receipt and notice of acceptance. This is the only change that should be made at this time.

We have enclosed copies of the corrected filing receipt and notice of acceptance issued on June 26, 2008 showing the incorrect International filing date as well as previously issued copies of these documents showing the correct international filing date of November 4, 2004. We have also included the 1<sup>st</sup> page of the publication of the PCT application showing the International filing date of November 4, 2004.

Respectfully submitted,  
/leslie t. henry/  
Leslie T. Henry (45,714)  
Tel: (919) 862-2229

Number of Pages: (including cover page) **12**

**IF NOT RECEIVED PROPERLY, PLEASE NOTIFY US IMMEDIATELY AT 862-2221.**

USER CODE: GRAVD	REQUESTED BY: Diann Gravius
CLIENT/MATTER: 035784/309941	OPERATOR:



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APPLICATION NUMBER	FILING or 371(c) DATE	GRP/ART UNI	FIL. FEE REC'D	ATTY/DOCKET NO	TOT CLAIMS	IND CLA MS
10/576,943	12/01/2006	1641	1680	035784/309941	19	5

CONFIRMATION NO. 1: 90

826

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 CHARLOTTE, NC 28280-4000



OC000000030619480

Date Mailed: 06/26/2008

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections.

## Applicant(s)

Li Long, Emeryville, CA;  
 Mohammad Luqman, Danville, CA;  
 Asha Yabannavar, Lafayette, CA;  
 Isabel Zaror, Emeryville, CA;

## Assignment For Published Patent Application

Chiron Corporation, Emeryville, CA

Power of Attorney: The patent practitioners associated with Customer Number 00826

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US2004/036957 05/19/2005 ← [Should be:  
 which claims benefit of 60/517,337 11/04/2003  
 and claims benefit of 60/525,579 11/26/2003  
 and claims benefit of 60/565,710 04/27/2004]

## Foreign Applications

If Required, Foreign Filing License Granted: 08/22/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 10/576,943**

Projected Publication Date: 10/02/2008

Non-Publication Request: No

Early Publication Request: No

**Title**

Use of Antagonist Anti-CD40 Antibodies for Treatment of Autoimmune and Inflammatory Diseases and Organ Transplant Rejection

**Preliminary Class**

424

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

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For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

**LICENSE FOR FOREIGN FILING UNDER****Title 35, United States Code, Section 184****Title 37, Code of Federal Regulations, 5.11 & 5.15****GRANTED**

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the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



## UNITED STATES PATENT AND TRADEMARK OFFICE

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 Alexandria, Virginia 22311-1450  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NUMBER NO.	FIRST NAME OF APPLICANT	ATTY DOCKET NO.				
10/576,943	L.J. Long	035784/309941				
		INTERNATIONAL APPLICATION NO.				
		PCT/US2004/036957				
<i>Should be: 11/4/2004</i>		<table border="1"> <tr> <td>INT'L. FILING DATE</td> <td>PRIORITY DATE</td> </tr> <tr> <td>05/19/2005</td> <td>11/04/2003</td> </tr> </table>	INT'L. FILING DATE	PRIORITY DATE	05/19/2005	11/04/2003
INT'L. FILING DATE	PRIORITY DATE					
05/19/2005	11/04/2003					
<b>CONFIRMATION NO. 1-90</b> <b>371 ACCEPTANCE LETTER</b>						



Date Mailed: 06/26/2008

**NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.49 ;**

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

12/01/2006DATE OF RECEIPT OF 35 U.S.C. 371(c)(1),  
(c)(2) and (c)(4) REQUIREMENTS12/01/2006DATE OF COMPLETION OF ALL  
35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE "FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 04/21/2006
- Copy of the International Search Report filed on 04/21/2006
- Preliminary Amendments filed on 04/21/2006
- Information Disclosure Statements filed on 04/21/2006
- Biochemical Sequence Diskette filed on 04/21/2006
- Oath or Declaration filed on 12/01/2006
- Biochemical Sequence Listing filed on 04/21/2006
- Request for immediate Examination filed on 04/21/2006
- Copy of references cited in ISR filed on 04/21/2006
- U.S. Basic National Fees filed on 04/21/2006
- Priority Documents filed on 04/21/2006
- Specification filed on 04/21/2006
- Claims filed on 04/21/2006
- Drawings filed on 04/21/2006

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

KAYA L. LEWIS BALTIMORE

---

Telephone: (703) 308-9140 EXT 202

## (12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization International Bureau



(43) International Publication Date  
19 May 2005 (19.05.2005)

PCT

(10) International Publication Number  
**WO 2005/044306 A3**

(51) International Patent Classification<sup>7</sup>: **A61K 39/395, A61P 37.06, 29/00 // C07K 16/28**

(74) Agents: **ALEXANDER, Lisa, E. et al.**; Chiron Corporation, Intellectual Property Department, P.O. Box 8097, Emeryville, CA 94662-8097 (US).

(21) International Application Number:

PCT/US2004/036957

(81) Designated States (unless otherwise indicated, for every kind of national protection available): **AL, AG, AI, AM, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CI, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EH, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, IP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, CM, PG, PH, PI, PT, RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.**

(22) International Filing Date:

4 November 2004 (04.11.2004)

(25) Filing Language:

English

(26) Publication Language:

English

(30) Priority Data:

60/517,337	4 November 2003 (04.11.2003)	US
60/525,579	26 November 2003 (26.11.2003)	US
60/565,710	27 April 2004 (27.04.2004)	US

(84) Designated States (unless otherwise indicated, for every kind of regional protection available): **ARIPO (BW, GH, GM, KE, LS, MW, MZ, NA, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European (AT, BJ, BG, CI, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IS, IT, LU, MC, NL, PL, PT, RO, SI, SI, SK, TR), OAPI (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).**

(71) Applicant (for all designated States except US): **CHIRON CORPORATION [US/US]; 4560 Norton Street, Emeryville, CA 94608-2916 (US).**

## Published:

— with international search report

(88) Date of publication of the International search report:  
15 September 2005

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

**WO 2005/044306 A3**

(54) Title: USE OF ANTAGONIST ANTI-CD40 ANTIBODIES FOR TREATMENT OF AUTOIMMUNE AND INFAMMATORY DISEASES AND ORGAN TRANSPLANT REJECTION

(57) Abstract: Methods of therapy for treating a subject for an autoimmune disease and/or inflammatory disease are provided. The methods comprise administering a therapeutically effective amount of an antagonist anti-CD40 antibody or antigen-binding fragment thereof to a patient in need thereof. The antagonist anti-CD40 antibody or antigen-binding fragment thereof is free of significant agonist activity, but exhibits antagonist activity when the antibody binds a CD40 antigen on a human CD40-expressing cell. Antagonist activity of the anti-CD40 antibody or antigen-binding fragment thereof beneficially inhibits CD40L-mediated stimulation of CD40-expressing cells, and thus inhibits survival and signaling pathways of human CD40-expressing cells that are mediated by CD40L.



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22314-1450  
 www.uspto.gov

APPLICATION NUMBER	FILING or 3/1(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	TOT CLAIMS	INC CLAIMS
10/576,943	12/01/2006	1641	1680	035784/309941	19	5

826  
 ALSTON & BIRD LLP  
 BANK OF AMERICA PLAZA  
 101 SOUTH TRYON STREET, SUITE 4000  
 CHARLOTTE, NC28280-4000

Previously  
 Issued  
 Filing Receipt

CONFIRMATION NO. 1890

FILING RECEIPT

Date Mailed: 09/21/2007

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections.

## Applicant(s)

Li Long, Emeryville, CA;  
 Mohammad Luqman, Danville, CA;  
 Asha Yabannavar, Lafayette, CA;  
 Isabel Zaror, Emeryville, CA;

## Assignment for Published Patent Application

Chiron Corporation, Emeryville, CA

Power of Attorney: The patent practitioners associated with Customer Number 00826

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US04/36957 (11/04/2004)

which claims benefit of 60/517,337 11/04/2003

and claims benefit of 60/525,579 11/26/2003X

and claims benefit of 60/565,710 04/27/2004X

This is correct date.

Already  
 corrected on  
 (01/26/2005)  
 (01/26/2005) Data provided by applicant is not consistent with PTO records.

## Foreign Applications

If Required, Foreign Filing License Granted: 08/22/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/576,943**

Projected Publication Date: 12/27/2007

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

Use of Antagonist Anti-CD40 Antibodies for Treatment of Autoimmune and Inflammatory Diseases and Organ Transplant Rejection

**Preliminary Class**

424

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER**

**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to

revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)) the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.	
10/576,943	Li Long	035784/309941	
<i>Previously Issued Notice of Acceptance</i>		INTERNATIONAL APPLICATION NO.	
		PCT/US04/36957	
		I.A. FILING DATE	PRIORITY DATE
		11/04/2004	11/04/2001
CONFIRMATION NO. 1890 371 ACCEPTANCE LETTER			
 *OC000000025507732*			

Date Mailed: 08/24/2007

*This is  
correct date*

## NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<u>12/01/2006</u>	<u>12/01/2006</u>
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF COMPLETION OF ALL 35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE "FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 04/21/2006
- Copy of the International Search Report filed on 04/21/2006
- Preliminary Amendments filed on 04/21/2006
- Information Disclosure Statements filed on 04/21/2006
- Biochemical Sequence Diskette filed on 04/21/2006
- Oath or Declaration filed on 12/01/2006
- Biochemical Sequence Listing filed on 04/21/2006
- Request for Immediate Examination filed on 04/21/2006
- Copy of references cited in ISR filed on 04/21/2006
- U.S. Basic National Fees filed on 04/21/2006
- Priority Documents filed on 04/21/2006

Page 2 of 2

- Specification filed on 04/21/2006
  - Claims filed on 04/21/2006
  - Drawings filed on 04/21/2006
- 

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

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KAYA L LEWIS BALTIMORE  
Telephone: (703) 308-9140 EXT 202

**PART 3 - OFFICE COPY**

FORM PCT/DO/EO/03 (371 Acceptance Notice)

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\*\*\* RX REPORT \*\*\*  
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RECEPTION OK

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